

02/22/02  
JC872 U.S. PTO

02-26-02

A

Attorney Docket No.: LWM-A078

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**Patent Application**

I hereby certify that this transmittal of the below described documents is being deposited with the United States Postal Service in an envelope bearing Express Mail Postage and an Express Mail label, with the below serial number, addressed to the Commissioner of Patents and Trademarks, Washington, D.C., 20231, on the below date of deposit.

Express Mail Label No.:	EL852342532US	Name of Person Making the Deposit:	Anthony Chou
Date of Deposit:	02/22/02	Signature of the Person Making the Deposit:	<i>Anthony Chou</i>

11040 U.S. PTO  
10/082603  
02/22/02

Inventor(s): Ming Yan, Liang Zhao and Hao Xu

Title: FILTER RESPONSE OPTIMIZATION FOR AN ARRAYED WAVEGUIDE GRATING DEVICE BY ADJUSTING GRATING OPTICAL PATH LENGTH AT NANOMETER SCALE

The Commissioner of Patents and Trademarks  
Washington, D.C. 20231

Sir:

**Transmittal of a Patent Application  
(Under 37 CFR §1.53)**

Transmitted herewith is the above identified patent application, including:

- ☒ Specification, claims and abstract, totaling 20 pages.
- ☐ Formal drawings, totaling \_\_\_\_\_ pages.
- ☒ Informal drawings, totaling 5 pages.
- ☒ Declaration and Power of Attorney.
- ☒ Information Disclosure statement.
- ☒ Form 1449
- ☒ Assignment(s)
- ☒ Assignment Recordation Form (duplicate)
- ☐ Request and Certification under 35 U.S.C. 122(b)(2)(B)(i)
- ☐ Other: \_\_\_\_\_

**Amendments, Priority Claim**

**35 U.S.C. 119**

☐ Priority of application Serial Number \_\_\_\_\_ filed on \_\_\_\_\_  
in \_\_\_\_\_ is claimed under

**35 U.S.C. 119.**

☐ The certified copy has been filed in prior U.S. application Serial No. \_\_\_\_\_

☐ \_\_\_\_\_ in \_\_\_\_\_  
The certified copy will follow.

**35 U.S.C. 120, 121 and 365(c)**

"This application is a continuation of and claims the benefit of copending application(s)

- ☐ application number \_\_\_\_\_ filed on \_\_\_\_\_
- ☐ International Application \_\_\_\_\_ filed on \_\_\_\_\_

and which designated in the U.S."

☐ Amend this specification by inserting, before the first line, the following sentence:

"This application claims priority to the copending application(s)

☐ Serial Number \_\_\_\_\_ filed on \_\_\_\_\_

which is hereby incorporated by reference to this specification

☐ International Application \_\_\_\_\_ filed on \_\_\_\_\_

which designated the U.S."

### FEES DUE

The fees due for filing the specification pursuant to 37 C.F.R. § 1.16 and for recording of the Assignment, if any, are determined as follows:

CLAIMS					
	NO. OF CLAIMS		EXTRA CLAIMS	RATE	FEES
Basic Application Fee					\$370.00
Total Claims	17	Minus 20=	0	X \$9 =	\$0.00
Independent Claims	3	Minus 3=	0	X \$42=	\$0.00
If multiple dependent claims are presented, add \$260.00					\$0.00
Add Assignment Recording Fee of \$40.00 If Assignment document is enclosed					\$40.00
<b>TOTAL APPLICATION FEE DUE</b>					<b>\$410.00</b>

### PAYMENT OF FEES

The full fee due in connection with this communication is provided as follows:

1. Not enclosed

[ ] No filing fee is to be paid at this time.

2. Enclosed

[ X ] Filing fee

[ X ] Recording assignment

[ ] Petition fee for filing by other than all the inventors or person on behalf of the  
inventor where inventor refused to sign or cannot be reached

[ ] For processing an application with specification in a non-English language

[ ] Processing and retention fee

- ☐ Fee for international-type search report
- ☒ The Commissioner is hereby authorized to charge any additional fees associated with this communication or credit any overpayment to Deposit Account No.: 23-0085. A duplicate copy of this authorization is enclosed.
- ☒ A check in the amount of \$410.00
- ☐ Charge any fees required or credit any overpayments associated with this filing to Deposit Account No.: 23-0085.

This application is filed pursuant to 37 C.F.R. § 1.53 in the name of the above-identified Inventor(s).

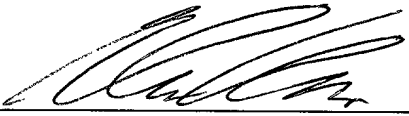
Please direct all correspondence concerning the above-identified application to the following address:

**WAGNER, MURABITO & HAO LLP**  
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San Jose, California 95113  
(408) 938-9060

- ☒ This transmittal ends with this page.

Respectfully submitted,

Date: 22 Feb 2012

By:   
Glenn D. Barnes  
Reg. No. 42,293